



SO₂ Allowance Offer Form (2007)

EPA Allowance Auctions

For more information, see instructions and refer to 40 CFR 73.70 - 73.71

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STEP 1

Enter offerer account information.

ATS Account #
Authorized Account Representative (AAR) Name
AAR Phone Number

STEP 2

Indicate the auction to which this offer applies (mark one only).

☐ Spot (first useable in 2007; may include 1995-2007 allowances) ☐ 7-Year Advance (first useable in 2014)

STEP 3

List the allowances to be offered by serial number. You may specify single allowances or a block of allowances. In the total column, enter the total number

Start Number	End Number	Total

(Note: Only allowances with serial numbers beginning with 2007 or earlier years, or 2014 may be offered and must correspond to the box checked in Step 2.)

STEP 4 (optional)

Enter your minimum acceptable price per allowance.

\$ _____.

STEP 5

Mark the box if appropriate.

☐ I am not willing to sell fewer allowances than the number listed in Step 3.

STEP 6

Enter your taxpayer identification, ABA routing, and bank account information.

_____ Taxpayer ID	_____ ABA Routing #	_____ Bank Account #, Bank Name, City, State, and ZIP
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STEP 7

Read the certification, enter your name as the authorized account representative or alternate authorized account representative, and sign and date.

I am authorized to make this submission on behalf of the owners and operators of the affected source or affected units or on behalf of the parties with an ownership interest with respect to the allowances held for which the submission is made. I certify under penalty of law that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify that the statements and information are to the best of my knowledge and belief true, accurate, and complete. I am aware that there are significant penalties for submitting false statements and information or omitting required statements and information, including the possibility of fine or imprisonment.

Name	
Signature	Date

Submission Information

This form must be received by the EPA no later than **close of business March 5, 2007**. Mail forms to the following address (do not send via regular or certified mail - the USPS will not deliver to this address).

Overnight mail (FedEx, UPS, DHL, etc.):

U.S. Environmental Protection Agency
Acid Rain Program (6204J)
Attention: Kenon Smith, 2nd Floor
1310 L Street, NW.
Washington, DC 20005

Or Fax Bid Form to Kenon Smith at 202-343-2381.

If you fax the Offer Form, call Kenon Smith at 202-343-9164 to confirm the fax was received.



Acid Rain Program

Instructions for SO₂ Allowance Offer Form (2007) EPA Allowance Auctions (40 CFR 73.70 - 73.71)

EPA will hold auctions for spot and 7-year advance SO₂ emission allowances on March 26, 2007. In the spot auction, EPA will sell allowances first useable in 2007. In the 7-year advance auction, EPA will sell allowances first useable for compliance in 2014. Any holder of allowances may contribute allowances dated 2007 or earlier, or 2014 to the EPA auctions. **Allowances dated 2006 or earlier cannot be offered from facility accounts because 2006 compliance has not yet been determined.** EPA will sell offered allowances after selling the allowances from the EPA reserve. You may specify a minimum acceptable price for your allowances, i.e., a price below which your allowances cannot be sold. Offered allowances must reside in your Allowance Tracking System account at the time EPA processes this form.

Type or complete the form in black ink. If you need more space, photocopy the pertinent page. When you have completed the form, indicate the page order and total number of pages (e.g., 1 of 4, 2 of 4, etc.) on each page in the spaces provided at the top right hand corner of the page.

Remember, under 40 CFR 72.21 and 73.33, you must notify the persons you represent in this transaction, either the owners or operators of the affected source and units or persons with an ownership interest with respect to the allowances held, of all Acid Rain Program submissions. EPA will accept Acid Rain Program submissions from either the authorized account representative (AAR) or the alternate AAR.

If you need assistance, call Kenon Smith at (202) 343-9164.

STEP 2 A separate offer form is required for:

- each auction in which allowances are offered, and
- separate offers with different minimum prices.

(You may photocopy this form if you wish to make multiple offers.)

STEP 3 List by serial number the allowances to be offered. You may specify a block of allowances having the same use year by entering the serial number of the first allowance in the block in "Start Number" and entering the serial number of the last allowance in the block in "End Number." Separate blocks having the same use year must be entered on different lines.

- Enter the Start Number and End Number in the appropriate columns.
- Enter the number of allowances to be offered in the "Total" column.
- Verify the accuracy of your entries by computing one of the following simple equations reflecting the equivalent relationships:

$$\begin{array}{l} \text{Start Number} = \text{End Number} - \text{Total} + 1 \\ \text{or} \\ \text{End Number} = \text{Start Number} + \text{Total} - 1 \end{array}$$

You will be prohibited from transferring the allowances you have offered for sale before the date of the auctions. If your allowances are not sold in the auctions, EPA will lift the transfer restriction on your offered allowances immediately following the auctions.

STEP 4 You may specify a minimum sale price for your allowances. If bid prices are below this minimum, EPA will not sell your allowances.

STEP 5 In the event that fewer allowances will be sold than are offered, EPA will sell a portion of your offered allowances to the bidder unless you indicate on the form that you are not willing to sell fewer allowances than the total(s) listed in Step 3.

STEP 6 Include your 9 digit Taxpayer Identification number (i.e., social security number), ABA routing number, and bank account information so the money can be wired to bank account if your allowances are sold. EPA uses the Automated Clearing House (ACH) payment system to make distributions, so make sure the ABA routing number is for ACH payments, not for wire transfers.

Submission Instructions

EPA must receive completed Allowance Offer forms no later than close of business March 5, 2007. Mail the completed forms to the following address. (Do not send via regular or certified mail - the United States Postal Service will not deliver to this address.)

Overnight mail (FedEx, UPS, DHL, etc.):

U.S. Environmental Protection Agency
Acid Rain Program (6204J)
Attention: Kenon Smith, 2nd Floor
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Paperwork Burden Estimate

The public reporting and recordkeeping burden for this collection of information is estimated to average 2 hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. **Do not send the completed form to this address.**